

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:

Simon CAO

Application No.: Divisional 10/190,511

Group Art Unit: To be Assigned

Filed: November 24, 2003

Examiner: To be Assigned

For: REFLECTION-TYPE POLARIZATION-INDEPENDENT OPTICAL ISOLATOR, OPTICAL ISOLATOR/AMPLIFIER/MONITOR, AND OPTICAL SYSTEM

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure provisions of 37 CFR § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ Form PTO-1449.
- 1b. ☐ Copies of IDS citations.
- 1c. ☐ An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d. ☐ English language translation (complete or relevant portion(s)) attached to each non-English language publication.
- 1e. ☐ Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.
- 1f. ☒ List of Copending Applications (ATTACHMENT 1(f), hereto).
- 1g. ☒ List of Additional Submitted Documents (ATTACHMENT 1(g), hereto).

2. ☐ This Information Disclosure Statement is filed under 37 CFR §1.97(b):

*(Check either Item 2a or 2b or 2c or 2d)*

- 2a. ☐ Within three months of the filing date of a national application other than a Continued Prosecution Application under § 1.53(d);
- 2b. ☐ Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application.
- 2c. ☐ Before the mailing of a first Office Action on the merits; or
- 2d. ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114.

3. ☐ This Information Disclosure Statement is filed under 37 CFR § 1.97(c) after the period specified in paragraph 2 above but before the mailing date of any of a Final Office Action under § 1.113, a Notice of Allowance under § 1.311 or an action that otherwise closes prosecution in the application, AND

*(Check either Item 3a or 3b; Item 3b to be checked if any reference known for more than 3 months)*

- 3a. ☐ The §1.97(e) Statement in Item 5 below is applicable; OR  
3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:  
☐ enclosed.  
☐ to be charged to Deposit Account No. 19-3935.

4. ☐ This Information Disclosure Statement is filed under 37 CFR §1.97(d) after the period specified in paragraph 3 above, but on or before payment of the Issue Fee, AND

- 4a. ☐ The § 1.97(e) Statement in Item 5 below is applicable; AND  
4b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:  
☐ enclosed.  
☐ to be charged to Deposit Account No. 19-3935.

5. ☐ Statement under § 1.97(e) *(applicable if Item 3a or Item 4a is checked)*

*(Check either Item 5a or 5b)*

- 5a. ☐ In accordance with 37 CFR § 1.97(e)(1), it is stated that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.  
5b. ☐ In accordance with 37 CFR § 1.97(e)(2), it is stated that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known by any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

6. ☒ This is a continuation/divisional/continuation-in-part application under 37 CFR § 1.53(b).

*(Check appropriate Items 6a and/or 6b)*

- 6a. ☒ Copies of the publications listed on the attached Form PTO-1449 which were previously cited in prior application Serial No. 09/09/437,791, filed on November 10, 1999 and co-pending application serial no. 10/190,511, filed July 9, 2002, and which is relied on for an earlier effective filing date for the subject application under 35 U.S.C. § 120, have been omitted pursuant to 37 CFR § 1.98(d).  
6b. ☐ Copies of the publications listed on the attached Form PTO-1449 which were not previously cited in prior application Serial No. \_\_\_, filed on \_\_\_, and

which is relied on for an earlier effective filing date for the subject application under 35 U.S.C. § 120, are provided herewith.

7. ☐ This is a continuation/divisional application under 37 CFR § 1.53(d) or a Request for Continued Examination under 37 CFR 1.114.

*(Check either Item 7a or 7b)*

- 7a. ☐ The Issue Fee has not been paid.  
7b. ☐ A Petition to Withdraw from issue under 37 CFR § 1.313(c) is filed concurrently herewith or has been granted. A continuation/divisional application under 37 CFR § 1.53(d) or a Request for Continued Examination under 37 CFR 1.114, after payment of the Issue Fee, is proper in accordance with 37 CFR § 1.53(d)(1)(ii) or 37 CFR 1.114(a), respectively.

8. ☐ This is a Supplemental Information Disclosure Statement.

*(Check either Item 8a or 8b)*

- 8a. ☐ This Supplemental Information Disclosure Statement under 37 CFR § 1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 CFR § 1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental IDS can be considered as if properly filed on \_\_\_\_\_.  
8b. ☐ This Supplemental Information Disclosure Statement is timely filed within one (1) month of the Notice under 37 CFR § 1.97 and 1.98, mailed \_\_\_\_\_.

9. ☐ In accordance with 37 CFR § 1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

*(Check appropriate Items 9a, 9b, 9c and/or 9d)*

- 9a. ☐ satisfied because all non-English language publications were cited on the enclosed "English language version of the search report or action which indicates the degree of relevance found by the foreign office". (See MPEP § 609, Minimum Requirements for an Information Disclosure Statement, Part A(3): Concise Explanation of Relevance, 8th Ed.)  
9b. ☐ set forth in the application.  
9c. ☐ satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.  
9d. ☐ enclosed as Attachment 1(e), hereto.

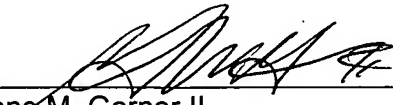
10. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 CFR §§ 1.97(g) and (h).

11. The Commissioner is authorized to credit any overpayment or charge any additional fee required under 37 CFR § 1.17 for this Information Disclosure Statement to Deposit Account No. 19-3935.

Respectfully submitted,

STAAS & HALSEY LLP

Dated: NOV. 24, 2003  
1201 New York Ave., N.W., Suite 700  
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By:   
Gene M. Garner II  
Registration No. 34,172

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO. 1398.1001DD	APPLICATION NO. Divisional 10/190,511
LIST OF REFERENCES CITED BY APPLICANT  (Use several sheets if necessary)		FIRST NAMED INVENTOR Simon CAO	
		FILING DATE November 24, 2003	GROUP ART UNIT To be Assigned

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA	5,283,846	02/01/94	Toyonaka et al.			
	AB	5,606,439	02/25/97	Wu			
	AC	5,768,005	06/16/98	Cheng et al.			
	AD	5,768,015	06/16/98	Pattie			
	AE	6,122,110	11/06/98	Toyonaka et al.			
	AF	5,912,766	06/15/99	Pattie			
	AG	6,088,153	07/11/00	Anthon et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	AH	0 123 456 A2	10/31/84	EPO				
	AI							
	AJ							
	AK							
	AL							

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

							TRANSLATION YES NO	
	AM	Tanaka et al., Holographically formed liquid-crystal/polymer device for reflective color display, Journal of the Society for Information Display, February 1994, Vol. 2, No. 1, pp. 37-40						

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO. 1398.1001DD	APPLICATION NO. Div. of 10/190,511
<b>LIST OF REFERENCES CITED BY APPLICANT</b>  <i>(Use several sheets if necessary)</i>		FIRST NAMED INVENTOR Simon CAO	
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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	BA	4,548,478	10/22/85	Shirasaki			
	BB	4,712,880	12/15/87	Shirasaki			
	BC	5,033,830	07/23/91	Jameson			
	BD	5,499,132	03/12/96	Tojo et al.			
	BE	5,689,360	11/18/97	Kurata et al.			
	BF	5,845,023	12/1998	Lee			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	BG							
	BH							
	BI							
	BJ							
	BK							
	BL							

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

							TRANSLATION YES NO	
	BM							

EXAMINER	DATE CONSIDERED
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	

**ATTACHMENT 1(f)**

<b>LIST OF COPENDING APPLICATIONS</b>	ATTORNEY DOCKET NO.	APPLICATION NO.
	1398.1001DD	Divisional 10/190,511
	FIRST NAMED INVENTOR	
	Simon CAO	
	FILING DATE	GROUP ART UNIT
	November 24, 2003	To be Assigned

The following, prior-filed, copending U.S. patent application(s) is/are listed in accordance with the duty of disclosure provisions of 37 CFR § 1.56, so that the Examiner may consider same should he deem any thereof to be material to examination of the subject application. Pursuant to 37 CFR 1.98(a)(2)(iii), a copy of the identified copending application(s) is provided.

It is requested that the Examiner acknowledge his consideration of application(s) below-listed by initialing same in the space provided adjacent each such application and that the Examiner sign and date this form at the bottom thereof to confirm such consideration having been given.

**This submission in no way represents an admission that any of the information listed herein constitutes prior art with respect to the subject application and unless and until such prior art status is established, this submission is not a request that the information presented herein be printed on the face of any patent issuing from the subject application in which this information is being filed.**

**U.S. PATENT APPLICATION DOCUMENTS**

EXAMINER INITIAL		U.S. SERIAL NO.	FILING DATE	NAME	ASSIGNEE
	1	10/190,511	07/09/02	Simon CAO	AVANEX CORPORATION
	2				
	3				
	4				
	5				
	6				
	7				
	8				

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

**ATTACHMENT 1(g)**

<b>LIST OF ADDITIONAL SUBMITTED DOCUMENTS</b>	ATTORNEY DOCKET NO.	APPLICATION NO.
	1398.1001DD	Divisional 10/190,511
	FIRST NAMED INVENTOR	
	Simon CAO	
	FILING DATE	GROUP ART UNIT
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**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA	6,169,064	01/02/01	Simon X.F. Cao	356	519	02/10/99
	AB	6,310,690 B1	10/30/01	Simon X.F. Cao and Xiaoping Mao	356	519	09/01/99
	AC	6,532,316	03/11/03	Simon Cao			11/10/99
	AD	6,480,331	11/12/02	Simon Cao			11/10/99

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	<u>TRANSLATION</u> YES NO	
	AC	EP-0123456-A2	01/2000	EPO (Doe et al.)				

**OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

	AD	PCT Notification of Transmittal of International Preliminary Examination Report, PCT International Preliminary Examination Report (no mailing date), in corresponding PCT International application No. PCT/US00/39017
	AE	PCT Notification of Transmittal of International Preliminary Examination Report, mailed February 19, 2002, including PCT International Preliminary Examination Report in International Application No. PCT/US0030-916 corresponding to co-pending application U.S. Serial No. 09/438,043 (Now U.S. Patent No. 6,532,316).

EXAMINER



**ATTACHMENT 1(g)**

<b>LIST OF ADDITIONAL SUBMITTED DOCUMENTS</b>	ATTORNEY DOCKET NO.	APPLICATION NO.
	1398.1001DD	Div. of 10/190,511
	FIRST NAMED INVENTOR	
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**OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

			TRANSLATION	
			YES	NO
	BA	Kreifeldt, E., "Avanex Emerges with 'Photonic Process' Technology", <a href="http://news.fiberopticonline.com/news-analysis/19990429-1759.html">http://news.fiberopticonline.com/news-analysis/19990429-1759.html</a> , pp. 1-6, 4/29/99		
	BB	Written Opinion, mailed August 29, 2001, in International Application No. PCT/US00/30916 (which corresponds to co-pending U.S. Serial No. 09/438,043, now U.S. Patent No. 6,532,316)		
	BC	Written Opinion, mailed October 31, 2001, in International Application No. PCT/US00/30917 (corresponding to the above-mentioned U.S. Serial No. 09/437,791, now U.S. Patent No. 6,480,331)		
	BD	International Search Report, dated April 4, 2001, for International Application No. PCT/US00/30917 (which corresponds to the above-mentioned U.S. Serial No. 09/437,791, now U.S. Patent No. 6,480,331)		
	BE	International Search Report, dated March 1, 2001, for International Application No. PCT/US00/30916 (which corresponds to co-pending U.S. Serial No. 09/438,043, now U.S. Patent No. 6,532,316)		
	BF	Lee et al., "Bidirectional Wavelength-Selective Optical Isolator", 5 July 2001, ELECTRONICS LETTERS, vol. 37, No. 14, pp. 910-912		

EXAMINER	DATE CONSIDERED
<p><b>*EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	